

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> <small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small>	Attorney Docket No.	240324US2TTC DIV
	First Inventor or Application Identifier	Tohru OZAKI
	Title	SEMICONDUCTOR MEMORY DEVICE AND METHOD OF FABRICATING THE SAME
Assignee Name:		KABUSHIKI KAISHA TOSHIBA
Assignee Address:		1-1, Shibaura 1-chome, Minato-ku, Tokyo JAPAN

<b>APPLICATION ELEMENTS</b> <small>See MPEP chapter 600 concerning utility patent application contents</small>	<b>ADDRESS TO:</b> Commissioner for Patents Mail Stop Patent Application Alexandria, Virginia 22313
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g. PTO/SB/17) <small>(Submit an original and a duplicate for fee processing)</small>  2. <input checked="" type="checkbox"/> Specification Total Sheets <input type="text" value="48"/>  3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) Total Sheets <input type="text" value="25"/>  4. <input checked="" type="checkbox"/> Oath or Declaration Total Pages <input type="text" value="4"/> a. <input type="checkbox"/> Newly executed (original or copy) b. <input checked="" type="checkbox"/> Copy from a prior application (37 C.F.R. §1.63(d)) <small>(for continuation/divisional with box 17 completed)</small> i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §1.63(d)(2) and 1.33(b). 5. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) 6. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification or Sequence Listing on : i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> Paper c. <input type="checkbox"/> Statements verifying identity of above copies	<b>ACCOMPANYING APPLICATION PARTS</b>  7. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) 8. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76 9. <input type="checkbox"/> 37 C.F.R. §3.73(b) Statement <input type="checkbox"/> Power of Attorney <small>(when there is an assignee)</small> 10. <input type="checkbox"/> English Translation Document (if applicable) 11. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations 12. <input checked="" type="checkbox"/> Preliminary Amendment 13. <input checked="" type="checkbox"/> White Advance Serial No. Postcard 14. <input type="checkbox"/> Certified Copy of Priority Document(s) <small>(if foreign priority is claimed)</small> 15. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27 16. <input checked="" type="checkbox"/> Other: Request for Priority Substitute Specification from Parent Application (Copy)

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below:

☐ Continuation   
 ☒ Divisional   
☐ Continuation-in-part (CIP)   
 of prior application no.: 09/956,001  
 Prior application information:    Examiner: George C. Eckert II    Group Art Unit: 2815

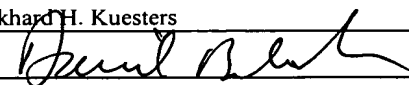
For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. Amend the specification by inserting before the first line the sentence:

☒ This application is a   
☐ Continuation   
☒ Division   
☐ Continuation-in-part (CIP)  
 of application Serial No.    09/956,001    Filed on    September 20, 2001  
☐ This application claims priority of provisional application Serial No.    Filed

**19. CORRESPONDENCE ADDRESS**

  
**22850**  
 (703) 413-3000  
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Name:	Eckhard H. Kuesters	Registration No.:	28,870
Signature:		Date:	7/15/03
Name:	David A. Bilodeau	Registration No.:	42,325

16834 U.S. PTO  
 10/618616  
 071503

18334 US. PTO  
07/15/03

Docket No. 240324US-2 TTC DIV

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

INVENTOR(S) Tohru OZAKI, et al.

SERIAL NO: NEW APPLICATION

FILING DATE: HEREWITH

FOR: SEMICONDUCTOR MEMORY DEVICE AND METHOD OF FABRICATING THE SAME

**FEE TRANSMITTAL**

COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313

FOR	NUMBER FILED	NUMBER EXTRA	RATE	CALCULATIONS
TOTAL CLAIMS	2 - 20 =	0	x \$18 =	\$0.00
INDEPENDENT CLAIMS	2 - 3 =	0	x \$84 =	\$0.00
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIMS (If applicable)			+ \$280 =	\$0.00
<input type="checkbox"/> LATE FILING OF DECLARATION			+ \$130 =	\$0.00
BASIC FEE				\$750.00
TOTAL OF ABOVE CALCULATIONS				\$750.00
<input type="checkbox"/> REDUCTION BY 50% FOR FILING BY SMALL ENTITY				\$0.00
<input type="checkbox"/> FILING IN NON-ENGLISH LANGUAGE			+ \$130 =	\$0.00
<input type="checkbox"/> RECORDATION OF ASSIGNMENT			+ \$40 =	\$0.00
TOTAL				\$750.00

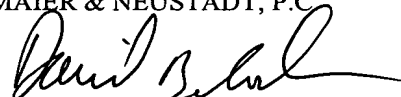
☐ Please charge Deposit Account No. 15-0030 in the amount of A duplicate copy of this sheet is enclosed.

☒ A check in the amount of **\$750.00** to cover the filing fee is enclosed.

☒ The Director is hereby authorized to charge any additional fees which may be required for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to Deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully Submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.



Eckhard H. Kuesters

Registration No. 28,870

Date: 7/15/03



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Respectfully Submitted,

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MAIER & NEUSTADT, P.C.

  
Eckhard H. Kuesters

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Date: 7/15/03



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David A. Bilodeau

Registration No. 42,325

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: Tohru OZAKI, et al.

GAU: Unassigned

SERIAL NO: NEW APPLICATION

EXAMINER: Unassigned

FILED: HEREWITH

FOR: SEMICONDUCTOR MEMORY DEVICE AND METHOD OF FABRICATING THE SAME

REQUEST FOR PRIORITY

COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313

SIR:

- ☒ Full benefit of the filing date of U.S. Application Serial Number 09/956,001, filed September 20, 2001, is claimed pursuant to the provisions of 35 U.S.C. §120.
- ☐ Full benefit of the filing date(s) of U.S. Provisional Application(s) is claimed pursuant to the provisions of 35 U.S.C. §119(e):
- | <u>Application No.</u>   | <u>Date Filed</u> |
|--|-------------------|
| <input checked="" type="checkbox"/> Applicants claim any right to priority from any earlier filed applications to which they may be entitled pursuant to the provisions of 35 U.S.C. §119, as noted below. |                   |

In the matter of the above-identified application for patent, notice is hereby given that the applicants claim as priority:

<u>COUNTRY</u>	<u>APPLICATION NUMBER</u>	<u>MONTH/DAY/YEAR</u>
Japan	2000-284710	September 20, 2000

Certified copies of the corresponding Convention Application(s)

- ☐ are submitted herewith
- ☐ will be submitted prior to payment of the Final Fee
- ☒ were filed in prior application Serial No. 09/956,001 filed September 20, 2001
- ☐ were submitted to the International Bureau in PCT Application Number  
Receipt of the certified copies by the International Bureau in a timely manner under PCT Rule 17.1(a) has been acknowledged as evidenced by the attached PCT/IB/304.
- ☐ (A) Application Serial No.(s) were filed in prior application Serial No. filed ; and
- ☐ (B) Application Serial No.(s)
- ☐ are submitted herewith
- ☐ will be submitted prior to payment of the Final Fee

Respectfully Submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

  
Eckhard H. Kuesters

Registration No. 28,870



22850